

Patent Docket P3230R1C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  Eaton et al.  Serial No.: 10/006,867  Filed: December 6, 2001  For: <i>Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same</i>	Group Art Unit: 1646  Examiner: Not yet assigned
---	--

**TRANSMITTAL OF PROPERTY RIGHTS STATEMENT TO DOE AND/OR NASA  
UNDER 42 U.S.C. §§ 2182 and 2457**

Assistant Commissioner of Patents  
ATTN: Licensing and Review  
Washington, D.C. 20231

Sir:

Applicants submit herewith a fully executed property rights statement to the DOE and/or NASA under 42 U.S.C. §§ 2182 and 2457 for the above captioned patent application. This property rights statement is submitted in anticipation of the Patent Office issuing a requirement for such a statement in the above captioned patent application as such a requirement was issued by the Patent Office in other related patent applications. Applicants note that this property rights statement is effective not only for the above captioned patent application, but also for all currently pending continuations of the above captioned patent application as shown in Appendix A which is appended to the fully executed property rights statement submitted herewith.

**Serial No.:** 10/006,867  
**Filed:** December 6, 2001

The Commissioner is authorized to charge any fees which may be required, including extension fees, or credit any overpayment to Deposit Account No. 07-0630.

Respectfully submitted,

GENENTECH, INC.

By: 

Mark T. Kresnak, Ph.D.

Reg. No. 42,767

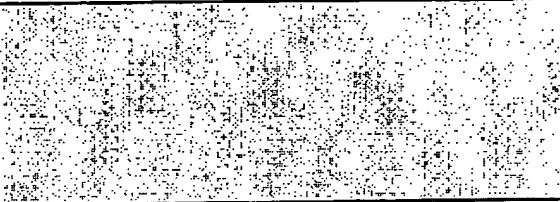
Telephone: (650) 225-4461



09157

PATENT TRADEMARK OFFICE

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  Eaton et al.  Serial No.: 10/006,867  Filed: December 6, 2001  For: <i>Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same</i>	Group Art Unit: 1646  Examiner: Not yet assigned  
---	--

**PROPERTY RIGHTS STATEMENT TO DOE AND/OR NASA (42 U.S.C. §§ 2182 and 2457) -  
INVENTORS EMPLOYED BY AN ORGANIZATION**

06/1  
Assistant Commissioner of Patents  
ATTN: Licensing and Review  
Washington, D.C. 20231

RECEIVED  
OCT - 8 2002  
LICENSING & REVIEW

Sir:

We, as joint inventors named in the above captioned patent application and the continuation applications of the above captioned patent application as listed on the herewith attached Appendix A, hereby declare with respect to the invention(s) described and claimed in the above captioned patent application and in the continuation applications of the above captioned patent application as listed on the herewith attached Appendix A that:

1. We made and conceived (a) the invention described and claimed in the above captioned U.S. patent application Serial No. 10/006,867 filed in the United States of America on December 6, 2001 and entitled "Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same" and (b) the invention(s) described and claimed in the continuation applications of the above captioned patent application as listed on the herewith attached Appendix A (henceforth the "Inventions");

2. We made and conceived these Inventions while employed by Genentech, Inc., 1 DNA Way, South San Francisco, California, 94080;

Serial No.: 10/006,867  
Filed: December 6, 2001

3. These invention(s) are related to the work we are employed to perform (or were employed to perform, if no longer employed by Genentech, Inc.) and were made within the scope of our employment duties; that these inventions were made during working hours and with the use of facilities, equipment, materials, funds, information and services of Genentech, Inc.;

4. To the best of our knowledge and belief, these Inventions were not made or conceived in the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy Research and Development Administration or the Department of Energy;

5. To the best of our knowledge and belief, these Inventions were not made (conceived or first actually reduced to practice) under, nor is there any relationship of these Inventions to the performance of any work under any contract of the National Aeronautics and Space Administration;

6. We declare further that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that all such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

**Full name of first inventor**

Dan L. Eaton

45 Inverness Drive, San Rafael, CA 94901

Citizenship: US

Inventor's signature: *Dan Eaton*

Date: 9-5-02

**Full name of second joint inventor**

Ellen Filvaroff

538 18<sup>th</sup> Avenue, San Francisco, CA 94121

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of third joint inventor**

Mary E. Gerritsen

541 Parrott Drive, San Mateo, CA 94402

Citizenship: CA

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Serial No.: 10/006,867  
Filed: December 6, 2001

3. These invention(s) are related to the work we are employed to perform (or were employed to perform, if no longer employed by Genentech, Inc.) and were made within the scope of our employment duties; that these inventions were made during working hours and with the use of facilities, equipment, materials, funds, information and services of Genentech, Inc.;

4. To the best of our knowledge and belief, these Inventions were not made or conceived in the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy Research and Development Administration or the Department of Energy;

5. To the best of our knowledge and belief, these Inventions were not made (conceived or first actually reduced to practice) under, nor is there any relationship of these Inventions to the performance of any work under any contract of the National Aeronautics and Space Administration;

6. We declare further that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that all such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

**Full name of first inventor**

Dan L. Eaton

45 Inverness Drive, San Rafael, CA 94901

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of second joint inventor**

Ellen Filvaroff

538 18<sup>th</sup> Avenue, San Francisco, CA 94121

Citizenship: US

Inventor's signature: Ellen Filvaroff

Date: 9/6/02

**Full name of third joint inventor**

Mary E. Gerritsen

541 Parrott Drive, San Mateo, CA 94402

Citizenship: CA

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Serial No.: 10/006,867  
Filed: December 6, 2001

3. These invention(s) are related to the work we are employed to perform (or were employed to perform, if no longer employed by Genentech, Inc.) and were made within the scope of our employment duties; that these inventions were made during working hours and with the use of facilities, equipment, materials, funds, information and services of Genentech, Inc.;

4. To the best of our knowledge and belief, these Inventions were not made or conceived in the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy Research and Development Administration or the Department of Energy;

5. To the best of our knowledge and belief, these Inventions were not made (conceived or first actually reduced to practice) under, nor is there any relationship of these Inventions to the performance of any work under any contract of the National Aeronautics and Space Administration;

6. We declare further that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that all such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

**Full name of first inventor**

Dan L. Eaton  
45 Inverness Drive, San Rafael, CA 94901  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

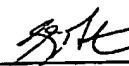
Date: \_\_\_\_\_

**Full name of second joint inventor**

Ellen Filvaroff  
538 18<sup>th</sup> Avenue, San Francisco, CA 94121  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of third joint inventor**

Mary E. Gerritsen  
541 Parrott Drive, San Mateo, CA 94402  
Citizenship: CA  
Inventor's signature:  \_\_\_\_\_

Date: Sept 5/02

**Serial No.:** 10/006,867  
**Filed:** December 6, 2001

**Full name of fourth joint inventor**

Audrey Goddard

110 Congo Street, San Francisco, CA 94131

Citizenship: CA

Inventor's signature: *A. Goddard*

Date: *Sept. 4, 2002*

**Full name of fifth joint inventor**

Paul J. Godowski

25 Orange Court, Hillsborough, CA 94010

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of sixth joint inventor**

J. christopher Grimaldi

1434 36<sup>th</sup> Avenue, San Francisco, CA 94122

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of seventh joint inventor**

Austin L. Gurney

1 Debbie Lane, Belmont, CA 94002

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of eighth joint inventor**

Colin K. Watanabe

128 Corliss Drive, Moraga, CA 94556

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of ninth joint inventor**

William I. Wood

35 Southdown Court, Hillsborough, CA 94010

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Serial No.: 10/006,867

Filed: December 6, 2001

**Full name of fourth joint inventor**

Audrey Goddard

110 Congo Street, San Francisco, CA 94131

Citizenship: CA

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of fifth joint inventor**

Paul J. Godowski

25 Orange Court, Hillsborough, CA 94010

Citizenship: US

Inventor's signature: Paul J. Godowski

Date: 9/06/02

**Full name of sixth joint inventor**

J. christopher Grimaldi

1434 36<sup>th</sup> Avenue, San Francisco, CA 94122

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of seventh joint inventor**

Austin L. Gurney

1 Debbie Lane, Belmont, CA 94002

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of eighth joint inventor**

Colin K. Watanabe

128 Corliss Drive, Moraga, CA 94556

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of ninth joint inventor**

William I. Wood

35 Southdown Court, Hillsborough, CA 94010

Citizenship: US

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_



**Serial No.: 10/006,867**  
**Filed: December 6, 2001**

**Full name of fourth joint inventor**

Audrey Goddard  
110 Congo Street, San Francisco, CA 94131  
Citizenship: CA  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of fifth joint inventor**

Paul J. Godowski  
25 Orange Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of sixth joint inventor**

J. christopher Grimaldi  
1434 36<sup>th</sup> Avenue, San Francisco, CA 94122  
Inventor's signature: \_\_\_\_\_

Date: 9/16/02

**Full name of seventh joint inventor**

Austin L. Gurney  
1 Debbie Lane, Belmont, CA 94002  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of eighth joint inventor**

Colin K. Watanabe  
128 Corliss Drive, Moraga, CA 94556  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of ninth joint inventor**

William I. Wood  
35 Southdown Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Serial No.:** 10/006,867  
**Filed:** December 6, 2001

**Full name of fourth joint inventor**

Audrey Goddard  
110 Congo Street, San Francisco, CA 94131  
Citizenship: CA  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of fifth joint inventor**

Paul J. Godowski  
25 Orange Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of sixth joint inventor**

J. christopher Grimaldi  
1434 36<sup>th</sup> Avenue, San Francisco, CA 94122  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of seventh joint inventor**

Austin L. Gurney  
1 Debbie Lane, Belmont, CA 94002  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: 9/4/2002

**Full name of eighth joint inventor**

Colin K. Watanabe  
128 Cortiss Drive, Moraga, CA 94556  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of ninth joint inventor**

William I. Wood  
35 Southdown Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Serial No.:** 10/006,867  
**Filed:** December 6, 2001

**Full name of fourth joint inventor**

Audrey Goddard  
110 Congo Street, San Francisco, CA 94131  
Citizenship: CA  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of fifth joint inventor**

Paul J. Godowski  
25 Orange Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of sixth joint inventor**

J. christopher Grimaldi  
1434 36<sup>th</sup> Avenue, San Francisco, CA 94122  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of seventh joint inventor**

Austin L. Gurney  
1 Debbie Lane, Belmont, CA 94002  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of eighth joint inventor**

Colin K. Watanabe  
128 Corliss Drive, Moraga, CA 94556  
Citizenship: US  
Inventor's signature: Colin K. Watanabe

Date: 9/5/2001

**Full name of ninth joint inventor**

William I. Wood  
35 Southdown Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Serial No.:** 10/006,867  
**Filed:** December 6, 2001

**Full name of fourth joint inventor**

Audrey Goddard  
110 Congo Street, San Francisco, CA 94131  
Citizenship: CA  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of fifth joint inventor**

Paul J. Godowski  
25 Orange Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of sixth joint inventor**

J. christopher Grimaldi  
1434 36<sup>th</sup> Avenue, San Francisco, CA 94122  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of seventh joint inventor**

Austin L. Gurney  
1 Debbie Lane, Belmont, CA 94002  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of eighth joint inventor**

Colin K. Watanabe  
128 Corliss Drive, Moraga, CA 94556  
Citizenship: US  
Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Full name of ninth joint inventor**

William I. Wood  
35 Southdown Court, Hillsborough, CA 94010  
Citizenship: US  
Inventor's signature: William I. Wood

Date: 9/9/02

## APPENDIX A

Application No.	Application Date	File No
10/063518	01May2002	P3230R1C10
10/063653	07May2002	P3230R1C100
10/063654	07May2002	P3230R1C101
10/063657	07May2002	P3230R1C102
10/063659	07May2002	P3230R1C103
10/063660	07May2002	P3230R1C104
10/063661	07May2002	P3230R1C105
10/063662	07May2002	P3230R1C106
10/063664	07May2002	P3230R1C107
10/063665	07May2002	P3230R1C108
10/063666	07May2002	P3230R1C109
10/063519	01May2002	P3230R1C11
10/063668	07May2002	P3230R1C110
10/063669	07May2002	P3230R1C111
10/063670	07May2002	P3230R1C112
10/063671	07May2002	P3230R1C113
10/063672	07May2002	P3230R1C114
10/063673	07May2002	P3230R1C115
10/063674	07May2002	P3230R1C116
10/063675	07May2002	P3230R1C117
10/063676	07May2002	P3230R1C118
10/063677	07May2002	P3230R1C119
10/063520	01May2002	P3230R1C12
10/063682	08May2002	P3230R1C120
10/063684	08May2002	P3230R1C121
10/063685	08May2002	P3230R1C122
10/063686	08May2002	P3230R1C123
10/063688	08May2002	P3230R1C124
10/063689	08May2002	P3230R1C125
10/063692	08May2002	P3230R1C126
10/063693	08May2002	P3230R1C127
10/063694	08May2002	P3230R1C128
10/063695	08May2002	P3230R1C129
10/063521	01May2002	P3230R1C13
10/063698	08May2002	P3230R1C130
10/063699	08May2002	P3230R1C131
10/063700	08May2002	P3230R1C132
10/063701	08May2002	P3230R1C133
10/063702	08May2002	P3230R1C134
10/063703	08May2002	P3230R1C135
10/063705	08May2002	P3230R1C136
10/063706	08May2002	P3230R1C137
10/063707	08May2002	P3230R1C138
10/063708	08May2002	P3230R1C139
10/063523	02May2002	P3230R1C14
10/063709	08May2002	P3230R1C140
10/063710	08May2002	P3230R1C141
10/063711	08May2002	P3230R1C142
10/063712	08May2002	P3230R1C143
10/063713	08May2002	P3230R1C144

## APPENDIX A

Application No.	Application Date	File No
10/063714	08May2002	P3230R1C145
10/063715	08May2002	P3230R1C146
10/063716	08May2002	P3230R1C147
10/063717	08May2002	P3230R1C148
10/063718	08May2002	P3230R1C149
10/063524	02May2002	P3230R1C15
10/063720	08May2002	P3230R1C150
10/063721	08May2002	P3230R1C151
10/063722	08May2002	P3230R1C152
10/063723	08May2002	P3230R1C153
10/063724	08May2002	P3230R1C154
10/063726	08May2002	P3230R1C155
10/063727	08May2002	P3230R1C156
10/063728	08May2002	P3230R1C157
10/063730	08May2002	P3230R1C158
10/063731	08May2002	P3230R1C159
10/063525	02May2002	P3230R1C16
10/063732	08May2002	P3230R1C160
10/063734	08May2002	P3230R1C161
10/063735	08May2002	P3230R1C162
10/063736	08May2002	P3230R1C163
10/063741	09May2002	P3230R1C164
10/063742	09May2002	P3230R1C165
10/063743	09May2002	P3230R1C166
10/063744	09May2002	P3230R1C167
10/063745	09May2002	P3230R1C168
10/063526	02May2002	P3230R1C17
10/063527	02May2002	P3230R1C18
10/063528	02May2002	P3230R1C19
10/063502	30Apr2002	P3230R1C2
10/063529	02May2002	P3230R1C20
10/063530	02May2002	P3230R1C21
10/063532	02May2002	P3230R1C22
10/063534	02May2002	P3230R1C23
10/063536	02May2002	P3230R1C24
10/063537	02May2002	P3230R1C25
10/063538	02May2002	P3230R1C26
10/063540	02May2002	P3230R1C27
10/063541	02May2002	P3230R1C28
10/063544	02May2002	P3230R1C29
10/063510	01May2002	P3230R1C3
10/063545	02May2002	P3230R1C30
10/063546	02May2002	P3230R1C31
10/063547	02May2002	P3230R1C32
10/063548	02May2002	P3230R1C33
10/063549	02May2002	P3230R1C34
10/063551	02May2002	P3230R1C35
10/063553	02May2002	P3230R1C36
10/063554	02May2002	P3230R1C37
10/063555	02May2002	P3230R1C38

## APPENDIX A

Application No.	Application Date	File No
10/063557	02May2002	P3230R1C39
10/063512	01May2002	P3230R1C4
10/063560	02May2002	P3230R1C40
10/063561	02May2002	P3230R1C41
10/063562	02May2002	P3230R1C42
10/063563	02May2002	P3230R1C43
10/063564	02May2002	P3230R1C44
10/063565	02May2002	P3230R1C45
10/063566	02May2002	P3230R1C46
10/063567	02May2002	P3230R1C47
10/063568	02May2002	P3230R1C48
10/063569	02May2002	P3230R1C49
10/063513	01May2002	P3230R1C5
10/063570	02May2002	P3230R1C50
10/063577	03May2002	P3230R1C51
10/063578	03May2002	P3230R1C52
10/063579	03May2002	P3230R1C53
10/063580	03May2002	P3230R1C54
10/063581	03May2002	P3230R1C55
10/063582	03May2002	P3230R1C56
10/063583	03May2002	P3230R1C57
10/063584	03May2002	P3230R1C58
10/063585	03May2002	P3230R1C59
10/063514	01May2002	P3230R1C6
10/063586	03May2002	P3230R1C60
10/063587	03May2002	P3230R1C61
10/063588	03May2002	P3230R1C62
10/063589	03May2002	P3230R1C63
10/063591	03May2002	P3230R1C64
10/063592	03May2002	P3230R1C65
10/063593	03May2002	P3230R1C66
10/063594	03May2002	P3230R1C67
10/063595	03May2002	P3230R1C68
10/063596	03May2002	P3230R1C69
10/063515	01May2002	P3230R1C7
10/063597	03May2002	P3230R1C70
10/063598	03May2002	P3230R1C71
10/063599	03May2002	P3230R1C72
10/063600	03May2002	P3230R1C73
10/063602	03May2002	P3230R1C74
10/063604	03May2002	P3230R1C75
10/063606	03May2002	P3230R1C76
10/063607	03May2002	P3230R1C77
10/063609	03May2002	P3230R1C78
10/063610	03May2002	P3230R1C79
10/063516	01May2002	P3230R1C8
10/063611	03May2002	P3230R1C80
10/063612	03May2002	P3230R1C81
10/063614	03May2002	P3230R1C82
10/063615	03May2002	P3230R1C83

## APPENDIX A

Application No.	Application Date	File No
10/063616	03May2002	P3230R1C84
10/063617	03May2002	P3230R1C85
10/063618	03May2002	P3230R1C86
10/063638	07May2002	P3230R1C87
10/063639	07May2002	P3230R1C88
10/063640	07May2002	P3230R1C89
10/063517	01May2002	P3230R1C9
10/063642	07May2002	P3230R1C90
10/063643	07May2002	P3230R1C91
10/063644	07May2002	P3230R1C92
10/063646	07May2002	P3230R1C93
10/063647	07May2002	P3230R1C94
10/063648	07May2002	P3230R1C95
10/063649	07May2002	P3230R1C96
10/063650	07May2002	P3230R1C97
10/063651	07May2002	P3230R1C98
10/063652	07May2002	P3230R1C99